



ICE GLOBAL NETWORK & COLOCATION US

US LIQUIDITY CENTER OPERATING POLICIES & PROCEDURES

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STATUS

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About This Document

The following documents should be read in conjunction with this document:

- SFTI® Americas Acceptable Use Policy
- ICE Global Network Colo US Technical Specifications
- NYSE Technologies Connectivity Master Services Agreement
- NYSE Technologies Connectivity Master Network Access Service Provider Agreement

These documents, and additional product information, are available at

<https://www.theice.com/data-services/global-network>

Contact Information

For commercial or product questions:

| Contact | Telephone | Email |
|---------------------------------------|---------------------------|--|
| ICE Global Network & Colocation Sales | 1-770-661-0010 - Option 3 | iceglobalnetwork-Info@ice.com |

For technical or operations related questions:

| Contact | Telephone | Email |
|-------------------------------------|--|--|
| Network Operations | 1-770-661-0010 - Option 1 | ClientNetworks@ice.com |
| USLC Data Center Operations (“DCO”) | 1-770-661-0010 - Option 2 - Sub-Option 2 | DC-Support-MAH@ice.com |
| Global Security Division | 212-656-7197 | physicalsecurity-mah@ice.com |

For shipping and receiving:

| Contact | Telephone | Email |
|---|-----------------------|--|
| Shipping and Receiving Queries: Main Dept | 1-212-656-5011 | NYSE-USShipping&Receiving@ice.com |
| Site Manager | 1-212-656-5032 (desk) | NYSE-USShipping&Receiving@ice.com |

Terms

The following terms used in these Operating Policies and Procedures have the following meanings:

- an **“Authorized Trading Center”** is any Trading Center authorized by NYSE Technologies Connectivity or its affiliates to occupy space in the US Liquidity Center. The NYSE Authorized Trading Centers are the NYSE Markets.
- the **“Colocation Hall”** is the designated space for colocation services within the US Liquidity Center.
- a **“Colocation Participant”** is a direct Customer of NYSET that has contracted for colocation services within the US Liquidity Center in accordance with the rules of the NYSE Markets.
- a **“cross-connect”** is an LCX cross-connect.
- a **“Customer”** is any person or entity that has contracted for NYSE Technologies Connectivity services, and includes both Colocation Participants and Telco Providers.
- a **“Customer Representative”** is an employee or agent of a Customer. Customer Representatives may include third parties providing services to the relevant Customer.
- a **“Hosted Customer”** means a customer of a Hosting User that is hosted in a Hosting User’s colocation space. A Hosted Customer may not provide hosting services to any other entities in the colocation space in which it is hosted.
- a **“Hosting User”** means a User that hosts a Hosted Customer in the User’s colocation space.
- **“ICE”** means Intercontinental Exchange Group, Inc., parent of NYSET, NYSE Group and its affiliates.
- the **“LCN”** is the Liquidity Center Network within the US Liquidity Center.
- a **“Lockbox”** is any anti-tamper, rack mountable frame or box designed to secure network equipment and prevent unauthorized access
- a **“Member”** is a trading permit holder or trading license owner approved to trade on one or more of the NYSE Markets; a **“non-Member”** is any entity that is not a Member.
- **“MMR”** is a Meet-Me-Room.
- the **“NYSE Markets”** are the New York Stock Exchange LLC, NYSE American LLC, NYSE Arca, Inc., NYSE Chicago, Inc., and NYSE National, Inc. equities markets and the NYSE American LLC and NYSE Arca, Inc. options markets.
- **“NYSET”** or **“NYSE Technologies Connectivity”** is NYSE Technologies Connectivity, Inc., part of ICE Data Services.
- the **“SLC”** is the IP Network within the US Liquidity Center.
- a **“Telco Provider”** is an approved third party provider of direct access connectivity that has contracted for cabinet space within the US Liquidity Center MMR, selling circuits or empty bandwidth. For the avoidance of doubt, Market Data, risk management gateway, managed transaction hub, and feed handler services are not considered direct access connectivity services.
- a **“Trading Center”** is a national securities exchange or facility thereof, a national securities association or facility thereof, an alternative trading system, an exchange market maker, an OTC market maker, or any broker-dealer that executes orders internally by trading as principal or crossing orders as agent.
- the **“US Liquidity Center”** or **“USLC”** is the NYSE Markets’ data center in Mahwah, New Jersey.

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- a **“User”**, for the purposes of colocation services, refers to any market participant that receives colocation services directly from one or more NYSE Market. Users can include member organizations (Members); sponsored participants; non-Member broker-dealers, and Vendors.
- a **“Vendor”** is a Colocation Participant that provides services to clients in the US Liquidity Center such as hosting, service bureau and technical support, risk management services, order routing services and market data delivery services to their customers while such Users are collocated in the Colocation Hall.
- a **“Visitor”** is a Customer Representative or other visitor to the USLC.

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1. Business Policies & Guidelines

1.1 Trading Practices

1. Colocation Participants may not use the facilities inside the US Liquidity Center to trade, unless such trade is on an Authorized Trading Center. Accordingly, except to the extent required by applicable law or regulatory requirement, a Colocation Participant may not engage in and/or take any action to develop, deploy and/or offer a service within the Colocation Hall if such service may or will result in the execution of a trade inside the US Liquidity Center using, or to a facility other than an Authorized Trading Center.
2. To execute a trade on an Authorized Trading Center, a Colocation Participant must use the LCN or SLC to connect to such Authorized Trading Center. Direct cross-connects to Authorized Trading Centers are not permitted.
3. Except to the extent required by applicable law or regulatory requirement, Colocation Participants may not use a direct cross-connect to another Colocation Participant in any manner that could potentially or actually result in the execution of a trade inside the US Liquidity Center.
4. A Colocation Participant may only trade on an Authorized Trading Center if it has been approved by the applicable Authorized Trading Center. Each Authorized Trading Center has its own approval process and approval must be explicitly granted by that Authorized Trading Center. As such, the permitted activities in colocation may be different for each Authorized Trading Center.

1.2 Applicability of, and Compliance with, Policy

1. The policies contained within this policy document apply to all Customers unless explicitly stated to the contrary.
2. NYSET is the arbiter of whether a Customer, Customer Representative, Visitor, or other person or entity is in compliance or not in compliance with these policies.

1.3 Distribution of Market Data

1. A Colocation Participant may act as a Vendor and distribute market data within its own cabinet footprint. This includes market data directly or indirectly supplied by any of the NYSE Markets (NYSE Market Data), market data sourced from another exchange (Away Market Data), and NYSE Market Data and Away Market Data together (Market Data).
2. Vendors may distribute Market Data to other Colocation Participants using their proprietary market data platform.
3. Vendors may host their own systems inside dedicated cabinets in the Colocation Hall and deliver Market Data directly to other Colocation Participants, via one or more cross-connects.
4. A Telco Provider may not distribute Market Data from the MMR.
5. This policy is designed to address physical interconnectivity in the US Liquidity Center and does not affect or supersede any rights or limitations set forth in the NYSE Markets' data distribution / use agreements or similar agreements with other non-NYSE Markets (Data Agreements). Colocation Participants must comply with all requirements of all applicable Data Agreements.

1.4 Hosting

1. Hosting is a service offered by a Colocation Participant within the USLC to its customer, called the Hosted Customer. A Colocation Participant that hosts another entity is called the Hosting User. Hosting can include, for example, a Colocation Participant supporting the Hosted Customer's technology, whether hardware or software, inside the Hosting User's colocation space.
2. Colocation Participants are permitted to support Hosted Customers within their colocation footprint. The Hosting User must ensure compliance of their Hosted Customers with the policies and procedures set out in this document, as they may be updated from time to time. Additionally, where the Hosted Customer is also a Member, the Hosting User must ensure compliance with any applicable NYSE Market rules and policies. Hosting Users are responsible for any non-compliance with such policies, procedures and rules by their Hosted Customers.
3. Hosting Users must use USLC facilities and features, including LCN or SLC connectivity, to receive NYSE Market Data and/or route orders. A Hosted User may not use cross connects to connect to an Authorized Trading Center.
4. Hosted Customers must be customers of the Hosting User and may use the facilities inside the US Liquidity Center to trade only if their trades are submitted to an Authorized Trading Center.
5. Both Member and non-Member Hosted Customers are permitted to use the facilities that Hosting User has in its colocation footprint, including LCN or SLC connectivity, for the receipt of Market Data.
6. Only Member Hosted Customers are permitted to use facilities that a Hosting User has in its colocation footprint, for connectivity to/from the matching engines via the order routing gateway for the purpose of submitting trades.
7. Non-Members hosted by a Hosting User may not directly input trading execution orders to the order routing gateway. Non-Member orders must go through executing Member brokers and a non-Member Hosted Customer may use one or both of the following two methods to connect to an executing Member broker:
 - a. Where the executing Member broker is a Hosted Customer hosted by the same Hosting User, in order to achieve connectivity, intra-rack cabling between the non-Member and Member is permitted.
 - b. Where the executing Member broker and the non-Member making an order are Colocation Participants with separate colocation footprints, the executing Member broker may provide connectivity to the non-Member via cross-connect.
8. Hosting Users must submit all tickets on behalf of their Hosted Clients and must be the point of contact for these requests. The Hosting User must coordinate any communications and participate in any planning or troubleshooting calls between USLC DCO and their Hosted Client.
9. Lockboxes to provide anti tamper security are permitted to be installed within client racks under the following guidelines:
 - a. The Customer is responsible for providing & shipping the lockbox that will be installed in the cabinet.
 - b. Lockbox must be pre-approved by USLC DCO prior to delivery to ensure the model and type of lockbox will not impede the functionality of existing rack doors and locks.
 - c. USLC DCO is responsible for installing the lockboxes in non-caged cabinets. Customers with cages have the option of self-installation or engaging the USLC DCO for installation.

- d. A lockbox can be secured by a sticker or zip-tie. Any required stickers or zip-ties must be provided by the Customer requesting the lockbox and must be stored in a clearly visible place within the same cabinet.
 - e. Any required keys or codes for accessing the lockbox must be kept in a clearly visible place within the same cabinet as the lockbox installation to allow access by USLC DCO in the event of a critical issue, such as i.e. smoke conditions; fire, or other unforeseen events.
 - f. A picture of the sticker or zip-tie to verify the lockbox has not been tampered with can be requested by submitting a ticket to the USLC DCO. Remote Hands fees apply.
 - g. The customer with the cabinet or cage must submit all tickets for remote hands or physical access by the server owner
10. All Colocation Participants that provide hosting services as a Hosting User must adhere to the reporting requirements set out in section 1.5 below.
 11. Hosting services are not available in the MMRs. Accordingly, a Telco Provider may not host another Telco Provider within its cabinet in the MMR.

1.5 Infrastructure Hosting Reporting

1. All Hosting Users are required to provide a monthly report of all Hosted Customers within their colocation footprint. Instructions for submitting the Hosting Report are found at the following URL: [ICE Global Network Service Provider Policy](#).

1.6 Telecommunications Providers in the US Liquidity Center

As a supplement (or alternative) to ICE Global Network connectivity into the USLC, including High Availability and Low Latency networks, Colocation Participants may use third party Telco Providers to provide direct access into the USLC. To facilitate this type of access, there are two diversely located MMRs in the USLC where Telco Providers can install their networking equipment and terminate their circuits. In addition to all other applicable policies set forth herein, Telco Providers must comply with the following policies:

1. All Telco Providers in the MMRs must be registered with the Federal Communications Commission.
2. Only Telco Providers may be in the MMRs. Telco Providers in the USLC may not install networking equipment or terminate their circuits anywhere in USLC outside of a MMR.
3. Telco Providers are permitted to take a maximum of 16 kW per MMR to house their equipment.
4. Connectivity from Telco Provider equipment in a MMR to a Colocation Participant client in the Colocation Hall will only be via a cross-connect. Telco Providers will be assessed a monthly fee (“Carrier Connection Fee”) for each cross-connect from the MMR to a Colocation Participant, irrespective of which party contracts for the cross-connect. Carrier Connection Fees are not prorated.
5. Telco Providers may not be in the co-location space unless they (a) are a market participant that requests to receive co-location services directly; or (b) a Hosted Customer of a Colocation Participant. Colocation Participants may not

install the networking equipment of a Telco Provider in their cabinets in order to function as a Telco Provider. The provision of circuits to Colocation Participants can only be done by a Telco Provider or IDS.

2 USLC Connectivity and Cabling Policy

1. Colocation Participants may use the LCN and/or SLC network services for connectivity.
2. Liquidity Center cross-connects are permitted in the following instances, subject to compliance with these operating policies and procedures:
 - a. between non-contiguous cabinets of an individual Colocation Participant's footprint; and
 - b. between different Colocation Participants within the Colocation Hall.
3. Hosted Customers that are hosted by the same Hosting User may be connected via intra-cabinet cabling.
4. The following Customers are permitted to perform their own cabling and installation of equipment, so long as cabling work conforms to NYSET guidelines and completed work is subject to NYSET engineering review:
 - a. Colocation Participants with cabinets in a cage;
 - b. Colocation Participants that have colocation cabinets in both a cage and the shared space; and
 - c. Telco Providers accessing their equipment located in the MMRs.
5. Cabling work to be completed in the areas listed in section 2.4 above may be performed by authorized Customer Representatives or by NYSET. All cabling work must be performed in accordance with the NYSET guidelines (ICE Global Network & Colocation Americas – Technical Specifications) and industry best practice.

3 Customer Visitation & Access Guidelines

3.1 Guidelines

1. Customer Representatives may enter the USLC in accordance with the procedures set out in this document. In the event that NYSET determines that one or more Customer Representatives have failed to follow these policies and procedures, the individual(s) may be immediately denied access to, or removed from, the USLC. Customer Representatives are only allowed onto the facility for legitimate business reasons.
2. Customer Representatives may only enter the USLC with the prior approval of NYSET and subject to the requirements set forth below.
3. Any one Customer may not have more than six Customer Representatives onsite at the USLC at the same time.
4. The following procedures will apply when a Customer wishes to request access to the USLC, irrespective of whether its Customer Representatives have permanent security access badges:
 - a. The Customer shall submit a Service Now ticket (CC) requesting access to the USLC. In such Service Now ticket, the Customer shall include the following information:

- The date and time for which access is requested (see below for minimum notice requirements)
 - The full names of all Customer Representatives
 - The estimated duration of the Customer Representatives' onsite visit
 - The number of Customer Representatives for which permission to enter the USLC is requested, subject to a cap of six
- b. The Customer must notify the USLC Data Center Management (DCM) team, via a Service Now ticket (CC), if a Customer Representative tests positive for Covid-19 within 14 days of visiting Mahwah. Entry into the USLC by a Customer Representative shall be deemed to constitute agreement to these present Policies and Procedures, including this notification requirement by the Customer.
 - c. The USLC DCM team shall review the Customer request to ensure that all information has been provided and the Customer has made the required agreement and will assess whether the USLC may support the requested number of Customer Representatives.
 - d. After review, the USLC DCM shall approve the Customer access request, work with the Customer to amend the request, or reschedule the Customer access to another time. All notifications shall be sent to the Customer via Service Now ticket (CC).
5. After the entry request is granted but prior to entering the USLC, each Customer Representative must provide proof of vaccination for Covid-19, respond to health screening questions and take a temperature check. Provided proof of vaccination is presented, the answer to all health screening questions is NO and the Customer Representative's measured temperature is less than 100.4 degrees Fahrenheit, then the Customer Representative may enter the USLC. Otherwise, he or she will be prohibited from entering the USLC.
 6. All Visitors entering the USLC must wear an N95 or KN95 mask while on site. Masks will not be provided by USLC.
 7. Customer Representatives who require frequent access to the USLC may apply for a "permanent" security access badge. A Customer Representative that has a permanent access badge will be provided a badge and allowed onto the USLC, provided that the Customer or Customer Representative must provide the Service Desk with at least a four hour advance notice of the visit to the USLC, which notice must meet the requirements set forth in Section 3.1.9, below. In providing advance notice, the Customer or Customer Representative must specify whether he or she will require access to their assigned storage locker and/or the shipping area and equipment within it.

The following restrictions will apply to Customer Representatives that have been issued permanent access badges:

- a. Customer Representatives must be accompanied in the shipping area.
 - b. A Customer Representative that has been issued a permanent access badge and that is representing a Customer with caged equipment will be permitted un-escorted access to the Customer's caged space. The Customer Representative will not be allowed un-escorted access to other areas.
 - c. A Customer Representative that meets the requirements for un-escorted access may escort up to 5 Customer Representatives that do not have a permanent badge to / from the Customer's caged space, so long as all Customer Representatives represent the same Customer.
 - d. If USLC DCO is required to assist the client, regular Remote Hands or escort rates will apply.
8. Customer Representatives that do not have permanent security access badges must submit an email request to the Service Desk a minimum of two business days prior to the visit to the USLC, which notice must meet the requirements set forth in Section 3.1.9. However, Customers that have an emergency situation may contact the Service Desk to

coordinate an emergency visit. A minimum notice of four hours should be allotted prior to any emergency visit, which notice must meet the requirements set forth in Section 3.1.9.

Each request for a Customer Representative without a permanent security access badge must include:

- a. name and employment status of each Customer Representative seeking access;
- b. name of Customer being represented and, if different, name of Customer Representatives' employer;
- c. purpose of the access request (including whether tasks of a substantially different nature are to be performed;
- d. expected duration of access;
- e. time and date access is requested; and
- f. information regarding any planned equipment arrival and or removal from the USLC.

9. Each notice requested under Sections 3.1.7 and 3.1.8 above ("Notice") must meet the following guidelines:

- a. If all the work will occur on one calendar day and the Customer or Customer Representative will not leave the premises for more than an hour on such day, they shall submit one Notice for such day.
- b. If the work will occur over the course of two or more days and the Customer or Customer Representative will not leave the premises for more than an hour on each day, they must submit one Notice for each day of work. However, when work from one day continues without interruption into the following day, no additional Notice is required if the continuation does not exceed four hours. For example, work that began on Friday and continues into Saturday morning will not require a second Notice so long as it does not continue past 4:00 a.m. on Saturday morning.
- c. If the Customer or Customer Representative leaves the premises for more than one hour, then each portion of the work is considered a separate visit, even if occurring on the same calendar day, and separate Notice is required for each visit. For example, if a Customer enters the property on Saturday, leaves the premises, and returns more than an hour later, the Customer would have to submit a separate Notice for each visit.

10. Customer Representative visits to the USLC are permitted on the following schedule:

- a. Customers that occupy space in the shared area (non-caged) in the Colocation Hall and MMRs:

- Non Emergency Visits, Weekdays (routine maintenance):

Monday to Friday: from 4:00 PM to 1:00 AM for cases where the Customer Representative needs to perform hardware and software maintenance on the servers. Related cabling and installation work must be performed by NYSET.

- Emergency Visits, Weekdays:

Monday to Friday: 8:00 AM to 8:00 PM under emergency conditions only. **"Emergency conditions"** are situations where the Customer is experiencing total loss of trading services on one or more NYSE Markets. In these cases, a senior management representative from the relevant NYSE Market will need to approve any work during production trading day hours. Customer Representatives shall be allowed to be onsite along with the NYSET technician to facilitate immediate repairs to rectify the problem. Related cabling and installation work must be performed by NYSET.

- Emergency & Non Emergency Visits, Weekends:

8:00 AM to 12:00 AM (midnight). Related cabling and installation must be performed by NYSET.

- b. Customers that occupy space in a caged area in the Colocation Hall and in the MMRs:

- Emergency & Non Emergency Visits, Weekdays:

Monday to Friday: from 8:00 AM to 1:00 AM for cases where the Customer Representative needs to perform hardware and or software maintenance on their equipment. Physical cabling or system changes that may affect production (e.g., connecting or disconnecting client equipment to a NYSET network) must be approved by USLC Data Center Operations in advance of the work being done.

- Emergency & Non Emergency Visits, Weekends:

Saturday & Sunday: 8:00 AM to 12:00 AM (midnight).

11. All Customer Representatives are required to comply with any applicable requirements regarding visitor security escorts during visits to the US Liquidity Center. This includes Customer Representatives who have a permanent US Liquidity Center site access badge.
12. Customer Representatives are not permitted to visit any areas other than the assigned space where that Customer's equipment is installed.
13. As a general rule, Customers may not make infrastructure changes during the production trading day to their equipment, especially where such equipment is directly connected to the NYSET and NYSE Markets' production systems. Changes to such equipment may have an impact on production connectivity and services and as such must be coordinated with NYSE Markets operations representatives.
14. All Customer Representative bags and packages will be subject to visual inspection.
15. Entry into the USLC grounds will be subjected to two security screenings: one at the entry gate and a second at the visitor entry area. Upon arriving at the entry gate, the Customer Representative's name and company information must be presented to the security operator. Each Customer Representative must present a government issued photo ID. The security officer will validate that the Customer Representative is expected. Unexpected visitors will not be granted access.
16. Admission to the USLC is subject to the issuance of an access badge (either temporary or permanent) and all Visitors are required to prominently display their access badge while on USLC premises. Temporary badges must be returned prior to departure. For issuance of a temporary badge, all Customer Representatives will be required to leave a government ID or driver's license, and on completion of the USLC visit are to return to the reception area where the visit originated. The Customer Representative must complete the "Time Out" field in the facility's Visitors Log and surrender the access badge to Global Security Division. The Customer Representative's ID will be returned upon return of the badge.
17. Customer Representatives may only enter the USLC if wearing appropriate footwear and attire, including long pants (not shorts) and closed toe shoes.
18. Visiting customer representatives will be allowed to hand carry a server, switch or any other IT appliance through the lobby turnstile, but no carts, hand trucks or dollies will be permitted. If a cart will be needed, the visitor should inform Security, who will in turn notify DCO. DCO will meet the visitor at the loading dock personnel entrance where a cart will be provided if requested.

3.2 Improper Use of Facilities

1. Customer Representatives and other visitors (together, Visitors) are prohibited from operating, touching, opening or accessing any software, hardware or other equipment not owned by the relevant Colocation Participant or Telco

Provider in the USLC without the express permission of authorized NYSET or other NYSE Market personnel. This includes, but is not exclusive to, colocation cabinets, network hardware and servers, computers and monitors.

2. Professional equipment trolleys will be provided on request or where appropriate and must be used for carrying all infrastructure test equipment.
3. Customer Representatives completing work in caged areas must bring all necessary equipment required for completing the work, including without limitation any ladder required. Customers may store a ladder in their cage for ongoing use, so long as it does not exceed six feet in height.
4. All rubbish is to be removed after any work is carried out.
5. Cell phones and similar equipment are permitted in the USLC, with the exception that the use of phones and similar equipment for video and photography is prohibited. If it is determined that a Visitor has taken photos or video by any means, the device used will be confiscated. Other recording devices (including video cameras and video recorders) may not be brought into the USLC. Global Security Division officers reserve the right to prohibit devices with camera capability in the facility.
6. Customers are prohibited from installing or using wireless equipment anywhere in the USLC. This prohibition includes both wifi and cellular wireless devices. Any devices found will be powered off immediately by USLC Data Center Operations personnel.
7. Visitors are prohibited from smoking, drinking or eating within the Colocation Hall, MMRs and production pod areas. Visitors may only smoke, eat or drink in the designated and sign-posted areas of the USLC.
8. All doors to, from and within the USLC must remain closed at all times. Doors may not be propped open at any time.
9. No hazardous or flammable materials (including without limitation boxes, paper, and bubble wrap) may be taken into, stored or left within the Colocation Hall or other pods within the USLC. The USLC must be kept free of packaging and kept in a clean and tidy condition at all times. The USLC Data Center Operations reserves the right to discard any such materials at its discretion without notice to the Customer.
10. Visitor use of outlets is prohibited without the prior permission of the USLC Data Center Operations.
11. Electrical equipment of any kind (such as laptop computers, etc.) requiring the use of an electric wall outlet may only be operated with the express permission of an authorized NYSET representative. Where use of an electric wall outlet is approved, only the non-UPS convenience outlet may be used. The use of vacuums within the USLC facility is prohibited.
12. No equipment shall be placed in front of air conditioning units, electrical panels, fire extinguishers, fire or exit routes.
13. No cables or other devices shall be installed below the raised floor.
14. Drilling, sawing, soldering, burning or other similar activities are prohibited in the USLC.

3.3 USLC Tour Policy

1. An approved list of tour sponsors shall be developed and provided to USLC Data Center Operations. Only tour sponsors may lead a tour.

2. Tour sponsors shall notify the USLC Data Center Operations at least three business days in advance of the visit to help expedite Visitor processing. Notification should include a list of tour attendees, and desired areas within the USLC to visit.
3. The tour sponsor must confirm the names of individuals expected to visit the facility with the Global Security Division team at least 24 hours in advance.
4. An individual may participate in a tour only if the Customer or other entity that he or she represents has executed either (a) an NYSE Technologies Connectivity MSA, or (b) the NYSE Technologies Connectivity Non-Disclosure Agreement (“NDA”).
5. Tours may be requested by contacting your sales representative or iceglobalnetwork-info@ice.com with requested dates and times, who will respond with confirmation or alternate dates / times if requested time cannot be supported.
6. All individuals participating in a tour must show a government issued photo ID and are subject to all requirements set out in this Section 3.

3.4 USLC Photography & Video Policy

1. NYSET prohibits photography or filming of any type inside the USLC or within the grounds without prior permission.
2. If it is determined that a Visitor has taken photos or video by any means, the device used will be confiscated. Visitors may be asked to sign an affidavit acknowledging that the use of cameras and video devices is prohibited within the facility.
3. Any requests for exceptions to this photography and video policy must be presented to Global Security Division and require written approval. Mobile cell phones and similar equipment are permitted in the USLC, with the exception that the use of phones or similar equipment for video and photography is prohibited. Other recording devices (including, video cameras and video recorders) may not be brought into the USLC. Global Security Division officers reserve the right to prohibit devices with camera capability in the facility.

3.5 Video Camera Installation Policy

1. Customers may not install their own video cameras anywhere within the USLC or on the USLC grounds, with the sole exception that USLC Data Center Operations will consider requests for video cameras made by Customers that have caged space within the Colocation Hall. Such exception requests need to be made in writing with at least two month’s advance notice to USLC Data Center Operations.
2. Any cameras installed will be the property of and part of the USLC CCTV system under the command and control of Global Security Division. Colocation Customers may request video (on DVD or other media) of specific incidents that may have occurred within the Customer’s cage during the previous 30 days.
3. Costs associated with such installations and services will be identified for the Customer and borne by such Customer. If approved, the installation and location of cameras shall be determined by Global Security Division.
4. Cameras must have a fixed view of the Customer’s cabinets in the cage in which the cabinets are located. No pan, tilt, zoom or audio functionality is permitted to be enabled.

3.6 Standard Electrical Power Configurations

1. Branch circuits from Remote Power Panels (“RPPs”) provide a Colocation Participant’s cabinet with no less than 4 kW and no more than 15kW of power. Two RPPs bookend each row of cabinets. One RPP provides 'A' feed power while the other provides 'B' feed power. In the event of an 'A' feed or a 'B' feed failure the other feed is engineered to provide power to the cabinet. Colocation Participants are strongly encouraged to use both the A and B feed power sources provided to them in their colocation cabinets to mitigate the impact from power equipment failures.
2. Each 4kW cabinet has two dedicated branch circuits, one from each of the RPPs. Each 8kW cabinet has four branch circuits, two from each of the RPPs. The standard 4kW and 8kW branch circuit configuration is a 30 Amp single phase 208VAC feed. Each 12kW cabinet has 4 x 3 Phase 35 Amp 208 VAC circuits per cabinet. 120VAC utility outlets are included as part of each cabinet offer.
3. The branch circuit allows the ability to offer a 4kW cabinet up to 5kW of power, an 8kW cabinet up to 11kW and a 12kW cabinet up to 15kW with no impact on their service. If a Colocation Participant exceeds the 4kW, 8kW or 12kW limit, the Branch Circuit Monitoring System (“BCMS”) alarm set points will be raised as applicable and Colocation Participants will be billed for the additional power.
4. All branch circuits are continuously monitored through the BCMS. Under normal operating conditions a pair of branch circuit breakers supporting a 4, 8 or 12kW cabinet should each carry half of the load. If the sum of the two branch circuit breakers total power exceeds 4, 8 or 12kW, an alarm will be generated by the BCMS that will alert USLC Data Center Operations to the out-of-tolerance condition.
5. Vertical rack mount power strips are provisioned as standard in each 4, 8, and 12 kW cabinet. Four and 8 kW units will deliver both 208 VAC power and 120 VAC power and provide 6x IEC C19, 18x IEC C13 and 8 x NEMA 5-20R receptacles. The plug is an L14-30P. Twelve kW units will deliver 30x IEC C13 and 6x IEC C19. The plug type is California Style 50 Amp, 250 Volt, 3P/4W Twistlock.
6. The use of electrical transfer switches in support of single power cord fed Customer equipment is not permitted without approval by USLC Data Center Operations. Such installations using the cabinet power strips can result in code violations. In most cases, dedicated circuits may be required at an additional cost to support such requirements.
7. NYSET will furnish and install all plug strips (“PDUs”) and moldings within the cabinets. The specified PDUs support a digital display for current metering and ethernet connectivity for monitoring purposes. Visitors interested in connecting into the PDUs for remote monitoring purposes may request to do so via the USLC Data Center Operations team and permission will be subject to technical review and discussion with USLC Data Center Operations. In the instance that NYSET approves the use of Customer furnished PDUs, the PDU devices must allow for joint NYSET and Customer monitoring & control capability. Customer Representative-initiated remote power reboots must be coordinated in advance and approved by USLC operations management. Colocation Participants are prohibited from remotely powering down PDU equipment without advance approval and coordination with NYSET.
8. It is the responsibility of Colocation Participants that occupy cages to ensure equipment is properly connected to diverse power strips of the same team to ensure redundant A and B power at all times.
9. NYSET supplied power strips contain two separate circuits with 20 Amp breakers. Devices connected to these power strips should be connected in a distributed manner so that:
 - a. Current draw on a power strip is balanced between Circuit #1 and Circuit #2.

- b. A single power strip circuit does not draw more than 6amps and a total draw on a single power strip does not exceed 12amps. This should ensure that a single power strip can provide adequate power to racked equipment in the event of a power strip fault or other upstream failure that interrupts power Source A or power source B.
- 10. If a Customer has provided its own power strips, it is the Customer's responsibility to understand the design, use, and circuit limits when connecting devices.
- 11. If an installation is found to exceed recommended current draw, the Customer may be asked to acknowledge the risks and release the Data Center and NYSET from any liability incurred in the event of a failover incident that an unaffected power strip cannot support.

3.7 Shipping and Receiving Policy

- 1. USLC Data Center Operations maintains corporate Shipping and Receiving Procedures and Standards.
- 2. USLC Data Center Operations must have at least 24 hours' prior notice of equipment deliveries to the USLC. Notification must be sent to DC-Support-MAH@ice.com.
- 3. Notices of delivery and shipments must include the following information:
 - a. Customer name
 - b. cabinet location (if known)
 - c. courier information
 - d. tracking number (If available)
 - e. weight of package (if available)
 - f. content description
 - g. number of pieces in the consignment
 - h. any special handling requirements
 - i. the ICE/NYSET Contact (if known).
- 4. Deliveries to USLC without prior notice or without sufficient information will be refused.
- 5. Deliveries to the USLC must be scheduled during business hours from Monday through Friday from 8:00 a.m. – 4:00 p.m.
- 6. After hours, weekend, and holiday deliveries should be treated as an exception and must be requested through DC-Support-MAH@ice.com at least 48 hours in advance for a package delivery. Extended loading dock usage after hours will require at least 5 business days' notice and will incur a hot hands charge of a minimum of 4 hours, with additional time added for every hour or partial hour the ICE employee needs to man the dock. Emergency drop ship deliveries from vendors to address break fix issues must obtain a ticket by calling (770) 661-0010 - Option 2 - Sub Option 2.
- 7. No hazardous equipment of any kind is allowed into the USLC. All trucking companies must provide a Certificate of Insurance for deliveries. Any personnel accompanying the driver must have valid picture IDs.

8. Shipments that have obvious signs of damage upon delivery will be marked as such on the packing slip and in the shipping/receiving log.
9. Packages and equipment sent to the USLC must be clearly marked for delivery as follows:

| |
|--|
| Ship To: |
| [COLOCATION PARTICIPANT] |
| c/o NYSE Technologies Connectivity |
| 1700 MacArthur Blvd |
| Mahwah NJ, 07430 |
| INSIDE DELIVERY <i>(Shipper must provide all necessary equipment to unload delivery from the truck)</i> |
| INSTRUCTIONS <i>(Please indicate if equipment is to be routed to Customer's colocation or storage area)</i> |
| CONTACT DETAILS <i>(Name and details of the key contact on the customer side)</i> |

3.8 Removal of Equipment from the USLC

1. All equipment, including computers, laptops, and servers, being removed from the USLC facility will require an approved "property removal form" signed by an authorized representative of USLC Data Center Operations. NYSE Data Center Operations reserves the right to inspect any and all outgoing property in the possession of any individual at any time on NYSE property.

3.9 Equipment Storage Policy

1. Storage in the equipment staging area is available to Customers on the following basis:
 - a. Storage in the equipment staging area may only be used for hardware and equipment shipped to site prior to installation in a Customer's Colocation or MMR cabinets.
 - b. The service is available by request and details must be provided in advance to NYSE Shipping & Receiving following the guidelines set out in section 3.7 above. For new installations, Customers should also coordinate with ICE Global Network Customer Engineering (clientprovisioning@ice.com).
 - c. Due to the limited space available, storage is only to be used for periods up to 15 days. Any storage for equipment which exceeds 15 days, requires prior consent from NYSE Shipping & Receiving. Storage that exceeds 15 days and is without the prior consent of NYSE will result in the equipment being returned to the Customer at the Customer's expense.
2. Empty boxes and other packing material will be disposed of no more than 15 calendar days after delivery to the facility. In addition to temporary storage in the equipment staging area, Customers that visit the facility on a regular and frequent basis are offered the use of storage lockers or a storage cabinet in the Visitor's area on the second floor. Allocations are based on a Customers' colocation footprint:
 - a. Customers with 1-3 cabinets will be offered a small locker (Dimensions: 12" Width x 18" Depth x 24" Height);

- b. Customers with 4-9 cabinets will be offered a large locker (Dimensions: 12" Width x 18" Depth x 36" Height);
 - c. Customers with 10 or more cabinets and/or a caged area will be offered a Large Storage Cabinet (Dimensions: 36" Width x 24" Depth x 72" Height); and
 - d. Customers will be offered an additional Large Storage Cabinet for each increment of 10 additional utilized cabinets.
 - e. For the purposes of allocating storage lockers or cabinets, "cabinets" refers only to cabinets that are active and therefore drawing power. "Power Not Used" cabinets are not included.
3. Storage in the USLC is primarily intended for Customers to store miscellaneous small tools, cabling, and hardware components.
4. No hazardous or flammable materials may be stored in temporary storage areas, lockers or storage cabinets.
5. If it is determined that a Customer or the Customer Representative is using storage space improperly, they will automatically be subject to loss of the storage privileges.
6. Customers are advised that use and assignment of the lockers and cabinets is offered at the discretion of NYSET and as such may be subject to change. Allocations will be evaluated from time to time as Customer activity requires. NYSET is not responsible for the contents of any locker or cabinet.
7. Keys for Large Storage lockers will be held with Security Personnel, available for Caged Customers to collect for the duration of their visit. Keys are to be returned to Security at the completion of each visit and it is the Customer's responsibility to ensure their locker is kept locked.
8. *Storing hardware components on the floor within cages and cabinets is prohibited.* If the storage space provided is provided by NYSET is not large enough to hold a Colocation Participant's hardware components, the Colocation Participant should acquire rackable drawers to be racked within their cabinets to accommodate storage.

3.10 Problem and Incident Management

1. All problems and incidents related to colocation and the MMRs are to be raised with the Data Center Operations team by emailing DC-Support-MAH@ice.com. This team is available on a 24x7 basis and can be reached via the general helpdesk at (770) 661-0010 - Option 2 - Sub Option 2.
2. All problems and incidents related to network connectivity services should be raised with the ICE Network Operations team by emailing clientnetworks@ice.com. This team is available on a 24x7 basis and can be reached at (770) 661-0010 - Option 1.
3. All tickets will be logged with notification tracking including email notice distribution. Tickets will be closed upon resolution.
4. Customers must notify NYSET immediately by calling (770) 661-0010 - Option 2 - Sub Option 2 or emailing DC-Support-MAH@ice.com of any operational issues being experienced. This includes:
 - a. any defect in any service provided by the Customer that may, or may not be, expected to impact the smooth and orderly operation of one or more of the NYSE Markets, or to adversely affect any Member or Colocation Participant that receives any service being delivered by the Customer. The notification should be done as soon as possible after the defect is discovered; and

- b. any other material defect in any service provided by the Customer as soon as reasonably practical after the defect is discovered.
- 5. Following the issue of any notice of defect, the Customer shall:
 - a. respond promptly and fully to all requests for information made by NYSET;
 - b. carry out such testing in respect of the service as NYSET may require;
 - c. promptly and effectively remedy the defect; and
 - d. issue such communications to impacted parties as NYSET may require.

3.11 Service Requests (Standard and Emergency)

- 1. An ICE global network customer engineer will be assigned to work with the Customer during any installation work related to new service turn-up. ICE global network customer engineer will be the single point of contact for new service requests related to colocation installations.
- 2. Service requests (emergency and non-emergency) for coordination of USLC visits, remote hands, equipment deliveries and operational issues must be made to the USLC Data Center Operations team via email at DC-Support-MAH@ice.com and may be escalated by calling (770) 661-0010 - Option 2 - Sub Option 2.
- 3. All service requests will be subject to tracking by the USLC Data Center Operations team. The DCO team will escalate all Customer issues internally and route the issue within the appropriate support organization.

Document History

| Document Version | Date | Change Description |
|------------------|----------------|---|
| 1.0 | Mar 2010 | Initial Draft |
| 2.0 | April 2010 | Policy Updates on PDUs |
| 3.0 | April 2010 | Policy Updates on DMMs |
| 4.0 | June 2010 | General Document Updates |
| 5.0 | Feb 2011 | Policy Update on Connectivity |
| 6.0 | April 2011 | Policy Update on Equipment Storage & Electrical Power Configuration |
| 7.0 | January 2012 | Policy Update on Vendors and Cross Connects |
| 8.0 | April 2012 | Policy Change on Market Data Distribution |
| 9.0 | October 2012 | Policy Update on 20kW |
| 10.0 | July 2013 | Policy Update on Telco Providers |
| 11.0 | November 2014 | General Document Updates |
| 12.0 | October 2015 | Branding Update and Policy Update for Wireless Devices |
| 13.0 | Jun 2016 | Updates to Storage and Cabling Policy Sections |
| 14.0 | April 2017 | Amendments to Equipment Ladders for Caged Customers and Dress Code |
| 15.0 | July 2017 | Removed the Restriction on Telco Providers ordering LCXs |
| 16.0 | September 2017 | Additional Terms for Disabling Wireless Devices |
| 17.0 | June 2018 | Policy Update on Non-disclosure Agreements |
| 18.0 | March 2019 | Notice requirements and general update |
| 19.0 | Jan 2020 | General update |
| 20.0 | May 2020 | Updated Document URL |
| 21.0 | October 2020 | Additional security requirements |
| 22.0 | April 2021 | Added Lockbox Policy & Removal of 20kW |
| 23.0 | August 21 | Policy Update on Infrastructure Hosting Reporting |
| 24.0 | October 2021 | Policy Update on Visitor Access |
| 25.0 | May 2022 | Policy Update on A&B Power Feeds, and Update on Visitor Access |